PUBLIC TELECOMMUNICATIONS FACILITIES PROGRAM GRANT APPLICATION FOR FY 1998

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CFDA No. 11.550
U.S. DEPARTMENT OF COMMERCE
National Telecommunications and Information Administration

We have estimated that each response to this collection of information will take, on average, from 12 to 165 hours. Our estimate includes the time to read the instructions, look through existing records, gather and maintain required data, and actually complete and review the form or response. If you have any comments on this estimate, or on how we can improve the collection and reduce the burden it causes you, please write Office of Policy Coordination and Management, NTIA, Room 4892, Department of Commerce, Washington, DC 20230. We will also accept your comments via the Internet if you send them to ptfp@ntia.doc.gov. Please DO NOT SEND COMPLETED APPLICATION FORMS TO THIS ADDRESS. Remember -- You are not required to respond to a collection of information sponsored by the Federal government, and the government may not conduct or sponsor this collection, unless it displays a currently valid OMB control number or if we fail to provide you with this notice. This collection has been assigned an OMB control number of 0660-0003. NTIA is authorized to collect the personal information we request in this form. We will use the information you provide to determine whether approving this application is in the public interest. If we believe there may be a violation or potential violation of a statute, regulation, rule or order, your application may be referred to the Federal, state, or local agency responsible for investigating, prosecuting, enforcing or implementing the statute, rule, regulation or order. In certain cases, the information in your application may be disclosed to the Department of Justice or a court or adjudicative body when (a) the Department of Commerce (b) any employee of the Department of Commerce or (c) the United States Government, is a party to a proceeding before the body or has an interest in the proceeding. If you owe a past due debt to the federal government, the employer identification number and other information you provide may also be disclosed to the Department of the Treasury Financial Management Service, other federal agencies and/or your employer to offset your salary, IRS tax refund or other payments to collect that debt. The Department of Commerce may also provide this information to these agencies through the matching of computer records when authorized. If you do not provide the information we request on the form, the Department of Commerce may delay processing of your application or may return your application without action. This notice is required by the Paperwork Reduction Act of 1995, Public Law 104-13, October 1, 1995, 44 U.S.C. 3507.

OMB Approval No. 0660-0003 Expires 11/30/2000

PREVIOUS EDITIONS NOT USABLE

INSTRUCTIONS FOR PART I, PAGE 1

This form is to be used as a required facesheet for applications submitted for Federal assistance from the Public Telecommunications Facilities Program. It will be used by Federal agencies to obtain applicant certification that States that have established a review and comment procedure in response to Executive Order 12372 and have selected the Program to be included in their process have been given an opportunity to review the applicant's submission.

1. Date application submitted to NTIA.

2a. Enter "Y" if this is a reactivation of an application deferred in the prior year's grant cycle.

2b. Enter the prior year's PTFP application number

3. Reserved for PTFP use.

4. Legal name of applicant, name of primary organizational unit that will undertake the activity, complete address of applicant. Please submit a street address, not a P.O. Box number. A box number cannot be used for express mail delivery.

5. Enter Employer Identification Number (EIN) as assigned by the Internal Revenue Service. The EIN will be redacted prior to disclosure to the public.

6. Give the call letters and frequency or channel number of the public radio or television station that is the subject of this application. If the application is for a repeater, a translator, or LPTV, the main station should be entered here.

7. Name, title, telephone number and fax number of person to contact on *administrative* matters related to this application. Space is also provided for entering an E-mail address.

8. Name, title, telephone number of person to contact on *engineering* matters related to this application.

9. PTFP is interested in the number of people in the coverage area of the proposed project and the number of people (if any) that will be added to your entity's signal coverage area as a result of the proposed project.

The Coverage Area should be based on Grade B contours for TV, and 1 mv/m measurements for radio.

If the number of persons is an increase from current coverage, please explain and document the increase in an Exhibit.

Use the abbreviations *R* for Radio, *TV* for Television and *NON* for nonbroadcast applications (Nonbroadcast projects include using satellite, Instructional Television Fixed Service (ITFS), fiber, cable, and microwave technologies.

Currently served by Applicant: All entities currently providing service should indicate the number of people within their current signal coverage: for example, *50,000 R*, *100,000 TV*, or *5,000 NON*

FIRST service added: Number of people to be served for projects which would provide service to an area with no similar service. R, TV or NON would be considered a separate service : For example, *50,000 TV* if no similar TV service in area

ADDED SERVICE to those covered by others: Number of people to be served by the project when those people already receive a similar R ,TV or NON service. For example, *50,000 R* if within the 1 mv/m service of another R station.

10. Enter the number of the Congressional District that includes the applicant's headquarters; *this can be only one number.*

11. Enter the numbers of ***all*** Congressional Districts in ***all states*** that would be reached by the proposed project. If a state has only one Congressional District, enter "1".

12. Enter how many months you anticipate needing for completion of the proposed project. Please use six month increments (e.g., *12*, *18*, *24*).

13. Applications can be either construction or planning, not both. NTIA uses "construction" in this instance to distinguish projects that purchase and install telecommunications equipment from projects that are only planning.

While applications may combine elements of radio and television or have more than one purpose, the PTFP Application Kit contains suggestions for structuring multi-project applications

14. Please be comprehensive.

15. Indicate here if construction and/or operation of the proposed facility requires a new authorization from the Federal Communications Commission.

16. For construction project applications, line 16a must not exceed 75% of the total on line 16c. Line 16c may include only ***eligible*** costs and must be the same as line C-1 of the budget form on page 4; it should not include the costs listed in Part III, Section D – Exclusions. On line 16d, show the *percentage* of the eligible costs (line 16c) requested from the Federal government.

17. Indicate whether the applicant is subject to review under Executive Order 12372 and provide the necessary documentation regarding state notification and review.

18. This question applies to the organization, not the person who signs as the authorized representative. Categories of debt include, but are not limited to, delinquent audit related debts, loans, and Federal taxes.

19. To be signed by the authorized representative of the applicant organization. A copy of its governing body's authorization for the individual to sign this application must be on file in the applicant's office and available for inspection.

Check here if Revised Form

APPLICATION FORM

Public Telecommunications Facilities Program

NTIA/Department of Commerce/Washington DC 20230

OMB Approval 0660-0003

CFDA 11.550

Non-Construction Submission

1. Date Submitted

2a. Enter "Y" if Reactivation

2b. Old File #

3. For PTFP Use

4. APPLICANT INFORMATION

5. Employer ID # (EIN)

4a. Full Legal Name

4b. Abbreviated Name

4c. Station/ Division

4d. Address Line 1

4e. Address Line 2

6. Main station that is the subject of the application.

Call Letters -TV -FM (AM)

Channel (eg. 24, 89.9) TV MHz

City County State Zip

7. Person to be contacted on administrative matters

Phone # ( )

Enter "Mr", "Ms", "Mrs" "Dr", etc. First Name M. I. Last Name Jr. etc Title

E-mail Fax # ( )

8. Person to be contacted on engineering matters

Enter "Mr", Ms", "Mrs" :"Dr", etc. Full Name Title

PROJECT INFORMATION

9. Estimated number of persons benefitting

CURRENTLY served by applicant.

FIRST service added by proposed facility

ADDED SERVICE to those covered by others

10. Single Congressional District of Applicant

11. Other Cong. districts served by project (e.g., PA 1-3,NY 4, 5-9)

12. Length of Project (# of months)

13. Enter letter(s) to clasify project

(P) lanning or (C) onstruction

(R)adio or (T)V or (RT) for both

(B)roadcast or (N)onbroadcast or (BN) for both

14, Areas affected by Project (Cities, Counties, States, Etc.)

15. Enter "Y" if new FCC authorizations are required

16. ESTIMATED FUNDING (whole dollars, no commas)

a. Federal Request $ .00

b. Applicant Match $ .00

c. TOTAL $ .00

d. Fed. % of eligible costs %

17. Is applicant subject to review by Executive Order 12372 Process?

Enter "Y" or "N" as appropriate

Date submitted for review

Enter NO if program not selected for state review

18. Is Applicant delinquent on any Federal Debt? Enter YES or NO. If YES, attach explanation.

For PTFP Use

19. CERTIFICATION BY AUTHORIZED REPRESENTATIVE. To the best of my knowledge and belief, all data in this application are true and correct. The document has been duly authorized by the governing board of the applicant and the applicant will comply with the attached assurance and the PTFP Rules if the assistance is awarded.

Phone # ( )

First Name M. I. Last Name Jr. etc Title

Signature of authorized representative

Date signed

Authorized for Local Reproduction

This from expires 11/30/2000

Previous Editions NOT usable

INSTRUCTIONS FOR PART I, PAGE 2

Remarks: Use this space to continue items that do not otherwise fit in their allotted space.

20. Summarize the purpose and objectives of this application in one or two sentences; e.g.

    "Anytown University seeks funding assistance to replace the 25-year-old transmitter, antenna, and transmission line of its public radio station."

    ☞**Supporting arguments and justifications should NOT be given here.**

21. Enter the appropriate letter in the space provided.

22. Indicate the number of full-time paid employees, part-time paid employees, and volunteers currently on the staff of the organizational unit for which the project is intended. Show also the total hours worked by an average staff member in each category in an average week. Then show comparable numbers projected for when the new facilities are in operation. If this is a planning grant application *for a new facility,* mark "NA".

    Indicate the current operating budget, if any, and projected budget for the first year of operation following construction of the proposed facilities. If this is a planning grant application *for a new facility,* mark "NA"

23. Indicate if the applicant currently receives or anticipates receiving financial assistance from the Corporation for Public Broadcasting (CPB).

    Indicate whether the facility is or will become a member of the public broadcasting organizations noted, or any others (please specify).

24. If a new FCC authorization is required, provide the following information for each approval required.
    1) Community of license
    2) Channel # (e.g." 89.9" for FM, "9" for TV, "A1-A4" for ITFS, "Ku-band" for satellite, etc.)
    3) File number assigned by the FCC (e.g. BPED010898AB)
    4) Common name used when referencing the transmission site in other parts of the application (e.g. "Northwest National Forest", "Old McDonald Farm", "Central Broadcasting").
    5) Indicate by placing a "Y" or "N" in the appropriate space whether the applicant owns or leases the transmission site. If site rights are pending, place a "P" in the appropriate space.

25. Indicate whether funding to support this project has been or will be sought from any other Federal program. This support could include funding to support programming or staff needed to operate the equipment as well as funding for the same equipment requested from PTFP, or funding for other equipment integral for the operation of the PTFP requested equipment. Please provide information about funding from other Federal programs in the Remarks section at the top of the page of, if necessary, an a page attached to page 2 of the form.

26. List all acceptable signals of other public telecommunications facilities of the same type as is the subject of this application. (The applicant is **not** required to provide exact contours of other stations, only a listing of those stations which can be viewed or heard within the service area of the proposed project.)

    TV — If this application is for a television project, list all public TV stations providing an acceptable signal (Grade B signal) within the project's service area.

    Radio — If this application is for a radio project, list other public radio stations that provide an acceptable signal (1 mv/m signal) within the project's service area.

    Nonbroadcast — If this application is for a non-broadcast television or ITFS project, list all public television stations and ITFS facilities that serve the project's service area.

IF THE SPACE PROVIDED IS NOT ADEQUATE FOR YOUR PROJECT

please continue your answers on plain paper attached after page 2

Public Telecommunications Facilities Program

NTIA/Department of Commerce/Washington DC 20230

OMB Approval 0660-0003

REMARKS (continuation of any items from page 1 or this page)

20. Summary of application (Summarize the purposes of the application in a few sentences.)

21. Types of Applicant (Enter appropriate letter in box)

A. State
B. County
C. Municipal
D. Township
E. Interstate
F. Intermunicipal
G. Special District
H. Independent School District
I. State Controlled Institute of Higher learning
J. Private University
K. Indian Tribe
L. Individual (NOTE: Not eligible for PTFP funding)
M. Non-profit
O. Other (specify)

22. Station Operations

	THIS YEAR		NEXT YEAR IF PROJECT FUNDED	
	Number	Hrs./Wk	Number	Hrs./Wk
Full-Time Staff				
Part-Time Staff				
Volunteers				
Operating Budget	$		$	

23. Public Broadcasting Affiliations

Check if distance learning application and therefor Q. 23 Not Applicable

Enter "Y" if applicant is currently CPB qualified

If applicant is NOT currently CPB qualified, enter "Y" if qualification is expected.

Date of expected qualification

Membership in national public broadcasting organizations. Enter "Y" as appropriate.

	PBS	NPR	NFCB	PRI	Other	Other
This year						
Next year						

24. New FCC Authorizations and/or New Sites required for this project (continue in Remarks section above if necessary or on another page).

Proposed Community of license	Channel #	FCC File #	Site Name	Owned	Leased

25. Yes No (circle one) Have you applied to another Federal program for funding, or received Federal funding, for this project?. Please provide information regarding other Federal funds in the Remarks section above or on another page.

26. List all public radio, TV stations or ITFS facilities which provide a similar type signal to the proposed service area (1 MV for FM, Grade B for TV).

City	Call Letters	City	Call Letters

City	Call Letters	City	Call Letters

INSTRUCTIONS FOR

PART II – BUDGET INFORMATION) CONSTRUCTION GRANT APPLICANTS ONLY

Budget information is required from all applicants. There are different forms for Construction and Planning Applications. **The Budget Information Form on page 3 should be completed only by applicants for Construction Projects. There is a separate Budget form for planning projects on page 4** (the reverse of the Construction Budget form on the facing page).

SECTION A: SUMMARY OF EQUIPMENT LIST

Categories A-F: Lines A1-A6F Total all of the equipment pages (page 6) submitted for each category of equipment (including installation costs). Place the total for each category of equipment on the appropriate line for that category.

Total Equipment: Total of all equipment requested on lines A-F.

SECTION B: OTHER PROJECT COSTS

Refer to the current regulations included in the Application Kit regarding the limited Other Project Costs that may be requested as part of the proposed project's eligible costs.

For each cost requested, describe the service to be performed, the name of the person/firm (if known), the cost basis (e.g. $20/hr, $200/day), the number of units (e.g. hours, days). The Cost should be the product of the cost basis times the number of units.

NTIA regards its primary mandate to be funding the acquisition of equipment and only secondarily funding salaries, even when allowed by law. NTIA permits non-profit organizations to include up to $5,000 for audit costs but generally will not fund salary expenses, pre-application legal and engineering fees, or pre-operational expenses of new entities. Applicants wishing to demonstrate that “exceptional needs exist” should state their case with supporting documentation in the Program Narrative.

Other Project Costs include Outside Services and Pre-operational Expenses.

Outside Services

List all outside services, such as audit costs, for which Federal funding is requested for this project **with the exception of installation labor,** which is included on the equipment pages in Part III.

Pre-operational Expenses

These expenses may be claimed only by applicants for the establishment of facilities or the extension of service areas.

List all non-construction costs for which Federal funding is requested to support expenses incurred prior to commencing operations of a new facility or the expanded portion of an existing facility.

Salaries of personnel employed by telecommunications entities now operating may **NOT** be included.

SECTION C: CALCULATION OF FEDERAL REQUEST

Line C1 Total of: Section A (Equipment) and Section B (Other Project Costs.)

Also, place this total on page 1, line 16c.

Line C2 Federal Share Requested **(no more than 75% of Line 1, not even by 25 cents)**

Also, place this amount on page 1, line 16a.

Applicants should review PTFP’s policy regarding the presumption of 50% Federal funding for replacement, improvement and augmentation projects.

Line C3 Applicant Share - subtract C-2 from C-1.

Also, place this amount on page 1, line 16b.

SECTION D: INELIGIBLE COSTS

Lines D1-3 List costs that are necessary to complete the project, but that are ineligible for Federal funding and therefore excluded from the project. Use additional pages if necessary.

Line D4 Total of D1-D3.

SECTION E: APPLICANT FUNDS

In this section, the applicant should demonstrate that it will have all the funds required to complete the project, both for the local match (line C3) and to cover ineligible costs (line D4)

Line E1 Add lines C3 and D4.

Lines E2 - 6 Identify sources of funds for applicant's share of eligible project costs. Document the sources, as required, in Exhibit A.

Line E7 The total applicant share of eligible project costs, which equals line E1, above.

PART II - BUDGET INFORMATION -- CONSTRUCTION GRANT APPLICANTS ONLY

Section A: SUMMARY OF EQUIPMENT LIST

Provide total costs of equipment from each category.

A1. Total Category A – Dissemination	$	
A2. Total Category B – Origination	$	
A3. Total Category C – Interconnection	$	
A4. Total Category D – Reception	$	
A5. Total Category E – Test Equipment	$	
A6. Total Category F – Other Equipment	$	
A7,	**Total Equipment**	$

Section B: OTHER PROJECT COSTS

SERVICE PERFORMED	NAME OF PERSON/FIRM (if known)	COST BASIS (unit price)	UNITS	COST	
B1.					
B2. (Attach additional pages if required)			**Total Other Project Costs**		$

Section C: CALCULATION OF FEDERAL REQUEST

C1. **Total Eligible Project Costs** (Total of Sections A and B)	Place amount in line 16c, page 1	$
C2. **Federal share requested** (Not more than 75% of line C1)	Place amount in line 16b, page 1	$
C3. **Applicant share**	Place amount in line 16a, page 1	$

Section D: INELIGIBLE COSTS (List items necessary to complete the project but ineligible for Federal participation)

D1	$	
D2.	$	
D3.	$	
D4.	**Total Ineligible Costs**	$

Section E: APPLICANT FUNDS

E1. Add Lines C3 and D4 to determine -	**Total Local Funds Required**	$
E2. Funds from Applicant's Operating Budget	$	
E3. Funds from Applicant's Capital Budget	$	
E4. Funds from Anticipated Grants or Appropriations	$	
E5. Fair market value of donated equipment	$	
E6. Other sources (Specify)	$	
E7. (Total of lines E2-E6 and must equal line E1)	**Total Local Funds Required**	$

PART II – BUDGET INFORMATION — PLANNING GRANT APPLICANTS ONLY		
PROJECT CLASS CATEGORIES		**BUDGET**
1. Personnel		$
2. Fringe Benefits		$
3. Travel		$
4. Equipment		$
5. Supplies		$
6. Contractual		$
7. Other (Specify:)		$
8. **Total Eligible Project Costs** (lines 1-7)	Place amount in line 16c, page 1	$
9. **Federal Share Requested**	Place amount in line 16b, page 1	$
10. **Applicant Share** (line 8 less line 9)	Place amount in line 16a, page 1	$

INSTRUCTIONS FOR PART II – BUDGET INFORMATION - PLANNING GRANT APPLICANTS

LINES 1 – 7:. All costs included in the proposed project should be broken down into the categories listed. Enter the amounts for each category on the appropriate line on the form

1. List each employee, full-time equivalency, and payment.
2. List fringe benefits and *method of calculating benefits*.
3. Break travel down into local and overnight, with projected areas of travel and costs.
4. Equipment may include office equipment to support the planning function, but cannot include equipment to establish a telecommunications facility.
5. List supplies projected to support the planning activity.
6. List contractors, such as consultants, amount to be paid, and *basis for rate charged*.
7. Under Other, list any additional eligible expenses required to support the planning activity.

Attach a Budget Detail that gives a line item breakdown with three columns on the right indicating “Federal Support,” “Matching Support,” and “Total.”

		Federal Support	Matching Support	Total
Example:	Project Director		$37,500	$37,500
	Secretary	$5,000	$10,000	$15,000

Also, ***attach a Budget Narrative*** that gives sufficient explanation about each category to establish the need for the funds requested in that category, and the basis for figures used and how they were calculated.

Example: Project Director will administer project, hire consultants, conduct planning meetings and prepare project reports. Project Director will be .6 FTE based on an established annual salary level of $62,500 at our organization.

PLANNING GRANT APPLICANTS SHOULD COMPLETE EXHIBIT A
and attach a discussion regarding the source of local funds

Exhibit A - Financial Certification - ALL Applicants

The following certification should be signed by the official responsible for fiscal affairs.

I certify that ______________________________ ("the applicant") will have funds in the amount of ____________________ to match a requested Federal award of ______________
(Enter Amount from line 16b of page 1 (Enter Amount from line 16a)
for a project with a total project cost of______________________________.
(Enter Amount from line 16c of page 1)

I certify that the project will be completed within__________ months if an award is made.
(Enter # of months)

I certify that the local funds required for the project (check one)

________ are now in hand. ________ will be available no later than six months after an award is made.

I further certify that the applicant will have funds available to pay any construction costs for this project not covered by the grant and will have funds necessary to maintain and operate the facilities once constructed. (This paragraph is not applicable to applicants for planning grants.)

The applicant has taken into account all non-Federal sources of financial support for this project and certifies that the non-Federal share stated by the applicant as being available is the maximum amount available from such sources.

Check either A or B:

A:____ Check if this is an initial application for funding.

I have attached a discussion which explains in detail how the applicant will raise the funds necessary to match the requested Federal funds, pay any ineligible costs required by the project and, if an application for construction funding, how the applicant will have funds necessary to maintain and operate the facilities once constructed.

B:_____ Check if this is a revised exhibit as the result of negotiations with PTFP.

Applicant agrees to accept the Special Award Conditions discussed with PTFP and checked below:

___ FCC Authorizations
___ Local Match
___ Site Rights
____ Other ______________________
___ (no Special Award Conditions discussed with PTFP).

____
(Signature)

______________________________ ______________
(Title) (Date Signed)

INSTRUCTIONS FOR
PART III) ELIGIBLE EQUIPMENT - (Required for Construction Grant Applicants Only)

Before completing this section, applicants should review the Final Rules and the list of eligible and ineligible equipment provided by NTIA/PTFP.

Check the block at the top of the page to indicate the category of equipment requested on that page. Arrange the equipment requested into these categories as described below (Dissemination, Origination, etc.). **Please do not place more than one equipment category on a page.** Make photocopies of the form and use as many pages as necessary to list all of the equipment categories requested. Retain the original blank for use later in case NTIA/PTFP requests revisions.

Please number multiples pages, (e.g. 6-1, 6-2, etc.)

For multi-site projects, enter the location at which the equipment will be placed on the line labeled "location."

Use only the left-hand section ("Equipment Request") at this time to list the items requested. The right-hand section is for reporting purposes *after* a grant is awarded.

Identify all major items required for the project. Proposed acquisition of multiple items grouped together for one price must be categorized sufficiently to provide assurance that no ineligible items are included.

In the column headed **Item**, place a general description of the equipment item in question; examples would be "studio cameras", "video production switcher", or "audio console." In the column headed **Description**, place the manufacturer and model number of the item. (This information indicates only the level of quality of the item. After competitive bidding, different manufacturers and models are commonly purchased.)

Categories of Equipment to be listed in Part III

A. **Dissemination Equipment**) Include items such as antennas, towers, transmitters, STLs, translators, cable/ITFS distribution systems, and equipment directly related to provision of a broadcast signal or delivery of non-broadcast programing to the intended audience.

B. **Origination Equipment**) Include equipment for production of television or radio programs, including items such as cameras, microphones, turntables, recorders, switching equipment, consoles, mixers, editing systems, telecine equipment, still store, character generators, signal processors, production lighting equipment, and other items necessary for production of broadcast-quality programing.

C. **Interconnection Equipment**) Include items such as microwave facilities, satellite reception equipment, and satellite transmission equipment.

D. **Reception Equipment**) The receiving equipment to be listed here should be for the use of the public, such as specialized receivers used by handicapped groups (*i.e.*, sub-carrier [SCA] receivers, caption decoders, and similar equipment). Refer to the listing of ineligible equipment before requesting any over-the-air reception equipment.

E. **Test Equipment**) Include test items necessary for good engineering practice.

F. **Other Equipment**) Specify any other eligible equipment which cannot be classified under the other categories.

Ownership of equipment

Generally, equipment listed as part of the proposed project cannot be owned by the applicant, nor can any funds be obligated towards its purchase, before the PTFP closing date for the year the application is (or was) first submitted to PTFP. Inclusion of equipment purchased prior to the closing date will be considered on a case-by-case basis only when clear and compelling justification is provided to NTIA.

Premature obligation of funds

PTFP considers money to be obligated when the Applicant enters into any sort of binding commitment to spend the money. This means the formal acceptance of a bid offering or the issuance of a purchase order.

Applicants are not permitted to obligate any monies from the eventual Federal share of a grant's Total Project Cost before the project Award Period begins. (PTFP Award Periods usually begin about September 1 and are determined by the Office of Executive Assistance Management.)

If an applicant obligates more than the local match before a grant is formally awarded, an applicant faces two primary risks:

1. If may not be offered a grant award after all, or
2. Negotiations may reduce the amount of the total project cost, and if the applicant has obligated funds in excess of the negotiated local match, the Federal share will be correspondingly reduced.

Installation Costs

Installation costs should be listed separately on the two lines, "Contractor installation" or "Staff installation." With regard to *transmission* equipment, NTIA strongly favors the use of either manufacturer or professional contractor personnel and commonly funds these costs. On the other hand, NTIA will rarely support requests for installation costs for *studio* or *test* equipment, whether that installation is done by staff or contract employees. Such installation is normally of minimal difficulty and the installation costs should be absorbed in the recipient's normal operating budget. NTIA will take into account demonstrations of exceptional need for such installation support, or demonstration that substantially greater efficiency would result from the use of staff installation instead of contractor installation

If installation is to be done by the applicant's work force, direct cost estimates should be based on existing wage scales.

Donated Equipment

Items of donated equipment that are part of the proposed project should be listed within the proper categories along with items to be acquired with grant funds. Fill in the fair market value of donated items on the "cost" portion of the form. As noted above, applicants may take title to donated equipment prior to the closing date only upon presentation and acceptance by NTIA of clear and compelling justification.

If donated equipment is to be used for the local match, the application should include a certified appraisal from a qualified, independent engineer as to the age, fair market value, and remaining useful life of the donated items. In addition, the applicant must include a letter from the donor confirming the donation.

Photocopy as many copies of the equipment form as necessary

Do not include more than one category on an equipment page.

PART III — ELIGIBLE EQUIPMENT

Construction Applicants Only Check Category for **This Page** ____(For multi-site projects, enter location where equipment will be placed)

Dissemination G **Origination** G **Interconnection** G **Reception** G **Test Equipment** G **Other** G

EQUIPMENT REQUEST (including installation costs)				EQUIPMENT ACQUIRED (including installation costs)		
Item	Description of Item	Quantity	Cost (whole dollars; include shipping)	Description of Item including Model #	Quantity	Cost (whole dollars; include shipping)
		Subtotal Equipment	$		**Subtotal Equipment**	$
Contractor Installation	$			Contractor Installation	$	
Staff Installation	$			Staff Installation	$	
		Subtotal Installation	$		**Subtotal Installation**	$
		TOTAL CATEGORY	$		**TOTAL CATEGORY**	$

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Top of Page When Submitting to PTFP

Photocopy as many copies of the equipment form as necessary

Do not include more than one category on an equipment page.

INSTRUCTIONS FOR PART IV - PROGRAM NARRATIVE

ALL APPLICANTS

In five or fewer pages, describe and justify the project. If more extensive discussion of any point in the narrative is necessary, the main point should be made in the narrative and a reference in the narrative can be made to an Optional Exhibit**.**

The application will be evaluated according to how well it address the criteria listed in Section 2301.17 of the PTFP Final Rules.

CONSTRUCTION APPLICANTS: The narrative should-

26. Indicate the precise location of the project and the area to be served.
27. Indicate the Priority (or other categories) described in Section 2301.4 of the PTFP Final Rules within which the applicant wishes the application to be considered.
28. State the objectives of the project and indicate how the proposed project fulfills one or more of the projects described in Section 2301.4 of the PTFP Final Rules.
29. Address those evaluation criteria in section 2301.17 that are not considered in special exhibits elsewhere in the application. Applicants should ensure that the Narrative explains how the proposed project meets PTFP's programmatic objectives and how the project reflects a sense of urgency.
30. Justify a local match of less than 50%, if requested for replacement, improvement and augmentation projects.
31. Demonstrate that the applicant has the ability to successfully complete the project within the proposed project period.

PLANNING APPLICANTS: The narrative should-

1. Indicate the precise location of the project and the area to be served.
2. Indicate the Priority (or other categories) described in Section 2301.4 of the PTFP Final Rules within which the applicant wishes the application to be considered.
3. Demonstrate the need and urgency for the public telecommunication services in question, and state the objectives of the project and indicate how the proposed project fulfills one or more of the projects described in Section 2301.4 of the PTFP Final Rules.
4. Describe the current interests and purposes of your organizations and their relevance to the proposed planning.
5. Describe the potential resources of your community that could be mobilized to provide public telecommunications services and what efforts to date have been made to mobilize them, including all planning and needs assessments already accomplished.
6. Address those evaluation criteria in section 2301.17 that are not considered in special exhibits elsewhere in the application. Applicants should ensure that the Narrative explains how the proposed project meets PTFP's programmatic objectives and how the project reflects a sense of urgency.
7. Justify a local match of less than 25%, if requested.
8. Demonstrate that the applicant has the ability to successfully complete the project within the proposed project period.
9. Briefly describe what public telecommunications services are already available in the proposed project service area. Discuss the range of alternative technologies that might be pertinent to the project for which the planning would be performed.
10. As an attachment immediately following the Narrative, provide a TIMELINE and STEP-BY-STEP PROCEDURE. This should consist of a procedural design that includes the significant projected accomplishments of the planning effort, along with the dates by which each accomplishment is to be completed. (Examples of such project benchmarks might be the hiring of project personnel; the achievement of organizational and funding targets; the submission of FCC applications (if required); and the submission of the final draft report and the completed final report.)

EXHIBIT B — INVENTORY

Construction Grant Applicants Only

INSTRUCTIONS: This exhibit should display an inventory only of equipment that either corresponds to the equipment requested in the application (*e.g.*, all existing VTRs, if VTRs are requested), or is closely associated with the requested equipment (*e.g.,* existing microwave that would feed a signal to a requested repeater station). The inventory should include equipment owned as of the application date, on order, or equipment authorized by a prior PTFP award.

PTFP is interested in the inventory only of the facility that is the subject of the application, ***not*** in the inventory of all the telecommunications entities operated by the applicant. If the facility that is the subject of the application is co-located with another facility operated by the applicant, however, then inventory information for ***both*** facilities should be provided. The applicant should explain the relationship between the two facilities regarding the sharing of equipment, studios, staffs, etc.

Construction Grant Applicants for new broadcast facilities should indicate whether they have any equipment that will be associated or devoted to the proposed facility.

Construction Grant Applicants for new distance learning facilities should list an inventory of any other similar facilities their institution operates, such as distance learning classrooms, satellite facilities, etc.

APPLICANT			PAGE OF PAGES	
LOCATION			DATE	
ITEM	MANUFACTURER	MODEL	QUANTITY	YEAR ACQUIRED

Authorized for local reproduction This form excpires 11/30/2000 Previous editions NOT usable

EXHIBITS AND OTHER DOCUMENTATION

The following items of documentation are required as indicated:

FINANCIAL CERTIFICATION

(Exhibit A) ALL Applicants

Applicants filing the initial application must attach a discussion to the form provided which explains in detail how the applicant will raise the funds necessary to match the requested Federal funds and pay any ineligible costs.

Applicants for construction projects must also explain how they will have the funds necessary to maintain and operate the facilities once constructed.

Planning applicants may cross out the paragraph certifying the availability of operating funds.

INVENTORY

(Exhibit B) ALL CONSTRUCTION Applicants

All construction grant applicants must include an inventory per the instructions found on page 7.

EQUIPMENT JUSTIFICATION

(Exhibit C) ALL CONSTRUCTION Applicants

Applicants to establish a facility or expand a facility should include an explanation of how the equipment requested is necessary to provide the intended service.

Applicants for replacement, improvement or augmentation projects should thoroughly document the need and urgency of any equipment requested. Applicants are encouraged to submit the following types of documentation to support the urgency of equipment replacement: maintenance logs, letters documenting unavailability of parts, independent engineer's evaluations, photographs, or other justification.

TRANSMITTAL - State Single Point of Contact

(Exhibit D) ALL applicants

Applicants must send pages 1 and 2 of their application form to the State Single Point of Contact (SPOC) for all states served by the project, if that state has an SPOC office. Place photocopies of signed and dated transmittal letters to the SPOC in this exhibit.

SPECIAL CONSIDERATION

(Exhibit E) ALL applicants

In accordance with 392(f) of the Act, the Agency will give Special Consideration to applications that foster ownership of, operation of, and participation in public telecommunications entities by minorities and women. NTIA has not established any minimum minority or women participation requirements for Special Consideration in PTFP evaluations in order to carry out the objectives of the statute. Rather, NTIA believes that the Congressional intent can be achieved in a fair and flexible manner by taking into account all factual circumstances that might lead to Special Consideration.

The PTFP Rules, in 2301.5, provide the following clarifications about Special Consideration.

"Ownership and operation of" includes the holding of management and other positions in the entity, especially those concerned with programing decisions and day-to-day operation and management.

"Participation" may be shown by the entity's involvement of women and minorities in public telecommunications through its programming strategies as meeting the needs and interests of those groups

"Minorities" include American Indians or Alaska natives; Asian or Pacific Islanders; Hispanics; and Blacks, not of Hispanic Origin.

Employment of minorities or women is not the only way in which NTIA may assess whether an application promotes significant diversity in the ownership of, operation of, and participation in, public telecommunications entities by minorities and women. NTIA is also interested in outreach efforts, audience development, and programming strategies. One stated purpose of this program is to respond to the educational, cultural and related programming needs of diverse groups.

Applicants should provide a narrative (with supporting documentation when necessary) which documents the participation of women and minorities in the station's ownership and management, especially those concerned with programing decisions and day-to-day operation and management. In preparing their exhibit, applicants should take care to clarify whether they are discussing women, minorities (minorities can be considered as a single group, but the predominant group should be identified as such), or a combination of women and minorities (where the predominant group/gender should be identified, and applicants should express whether they are discussing women or minorities in the case of an individual who is a female minority.)

ELIGIBILITY DOCUMENTS

(Exhibit F) REQUIRED ONLY..

from non-profit organizations which have never received a grant from PTFP. Applicants must provide a copy of their Articles of Incorporation, By-Laws and IRS 501(c)(3) non-profit letter or other evidence of non-profit status.

DISTRIBUTION AGREEMENTS

(Exhibit G) REQUIRED ONLY..

from applicants who are dependent on another organization to distribute programming to the service area. Copies of Distribution Agreements are usually required from cable production and radio/TV reading services when the applicant has been donated or leases facilities to distribute the programming to the intended users.

Distribution agreements are also required from repeater/translator stations rebroadcasting the signal of a station not owned by the applicant.

MAPS/ DOCUMENTATION OF COVERAGE

(Exhibit H) REQUIRED ONLY..

(1) from applications which propose construction of new facilities (either broadcast or distance learning); or

(2) from stations claiming to be a Priority 2 sole service station but have significant overlap with other stations in the coverage area.

These applicants should provide maps of the station's coverage area and documentation of the number of people receiving service. In the case of broadcast applicants, information should be provided regarding the number of people receiving "first service" or "sole service". In the case of distance learning applicants, information should be provided regarding the number of people to be served by the project.

LETTERS OF SUPPORT

(Exhibit J) APPLICANTS for new broadcast or distance learning facilities

Letters may be submitted to document community support and willingness to participate in the project.

NAME CHECK FORMS

(CD-346) PRIVATE, NON-PROFIT APPLICANTS

ONE COMPLETE SET of the CD-346 forms, found on the last page of this application, must be submitted by each applicant that is a private, non-profit corporation (community licensees, *private* colleges, etc.) The forms request information regarding key individuals in the applicant's organization, such as (1) each officer (chairman, president, vice-president, secretary, treasurer, etc). (2) executive director/general manager, (3) chief fiscal officer/business manager, and (4) project director of the PTFP proposal.

The name of the organization should go in box 1 on the first page of the form, <u>not the name of</u>

the person filling it out.

CD-346 forms *do not* have to be filed by entities that are part of state or local government, including state and city universities and colleges, nor by Indian tribal governments.

FCC DOCUMENTS

CONSTRUCTION APPLICANTS REQUIRING NEW FCC AUTHORITY

No grant will be awarded for a project requiring FCC authorization for construction until confirmation is received by NTIA from the FCC that the necessary authorization will be issued.

PTFP urges applicants to submit applications to the FCC as early as possible, perhaps 60 days prior to the PTFP Closing Date, especially for those authorizations requiring the FCC to place the applications on public notice. Applicants submitting copies of their applications to the FCC after the Closing Date do so at their own risk.

It is the applicant's responsibility to submit applications to the FCC so that the FCC has sufficient time to process the application and make the necessary notification to NTIA. For the usual PTFP grant cycle with a closing date in winter/early spring, the final FCC notification usually takes place in mid-summer.

In order for PTFP to evaluate the need for the equipment requested, copies of the following FCC applications (or equivalent engineering data) and licenses relevant to the project must be submitted ***with the PTFP application***. This includes applications for permits, construction permits and licenses already received for:

- Construction of a Broadcast Station or Translator;
- Microwave facilities (*all* locations marked to correspond with descriptions in the Narrative or other parts of this application);
- ITFS authorizations;
- SCA authorizations; and
- Requests for Extension of Time.

Multiple FCC applications/licenses should be separated by divider sheets, identified by tabs, and placed on the back panel of the application folder or as the last item in the application, at the back of the file folder.

For Studio-to-Transmitter links (STLs), remote pick-up units and satellite uplinks, applicants should include in the PTFP application a copy of the FCC application ***as it will be submitted to the FCC, or the equivalent engineering data sufficient to evaluate the equipment request.***

For television translators or television low-power projects, copies of the television translator or television low-power applications ***as they will be filed with the FCC*** must be sent with the PTFP application if the PTFP Closing Date is before the FCC has a low-power open "window" for receipt of applications. Once a "window" is opened by the Commission, however, the FCC application must be filed promptly and PTFP notified of the FCC file number assigned to the application.

NTIA makes every effort to keep itself informed of FCC developments pertinent to PTFP applications. PTFP needs to have the FCC file numbers of all pending applications related to the proposed project as soon as the number is received by the applicant. If PTFP does not have the correct file FCC number, it may not be possible to complete the necessary PTFP/FCC coordination, and NTIA would be unable to offer a grant to an otherwise worthy applicant. NTIA does not inform PTFP applicants about the status of their FCC applications. Applicants should closely follow their situation at the FCC to assure that the FCC and NTIA are aware of the most recent developments concerning their FCC authorization.

If any changes are made to pending FCC applications during the time your proposal is under PTFP consideration, copies must be filed with PTFP. Copies of any relevant authorizations, extensions, or other communications received by the applicant from the FCC during PTFP's consideration of the proposal should also be forwarded to PTFP.

OPTIONAL MATERIAL

Applicants may submit other material they believe will be relevant to their project in one or more additional exhibits. A Table of Contents of the exhibits should be provided.

ASSURANCES — NON-CONSTRUCTION PROGRAMS

Public reporting burden for this collection of information is estimated to average 15 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0040), Washington, DC 20503.

PLEASE DO NOT RETURN YOUR COMPLETED FORM TO THE OFFICE OF MANAGEMENT AND BUDGET, SEND IT TO THE ADDRESS PROVIDED BY THE SPONSORING AGENCY.

NOTE: Certain of these assurances may not be applicable to your project or program. If you have any questions, please contact the awarding agency. Further, certain Federal awarding agencies may require applicants to certify additional assurances. If such is the case, you will be notified.

As the duly authorized representative of the applicant, I certify that the applicant:

1. Has the legal authority to apply for Federal assistance and the institutional, managerial, and financial capability (including funds sufficient to pay the non-Federal share of project cost) to ensure proper planning, management, and completion of the project described in this application.

2. Will give the awarding agency, the Comptroller General of the United States, and if appropriate, the State, through any authorized representative, access to and the right to examine all records, books, papers, or documents related to the award; and will establish a proper accounting system in accordance with generally accepted accounting standards or agency directives.

3. Will establish safeguards to prohibit employees from using their positions for a purpose that constitutes or presents the appearance of personal or organizational conflict of interest, or personal gain.

4. Will initiate and complete the work within the applicable time frame after receipt of approval of the awarding agency.

5. Will comply with the Intergovernmental Personnel Act of 1970 (42 U.S.C. §§ 4728-4763) relating to prescribed standards for merit systems for programs funded under one of the nineteen statutes or regulations specified in Appendix A of OPM's Standards for Merit Systems of Personnel Administration (5 CFR 900, Subpart F).

6. Will comply with all Federal statutes relating to nondiscrimination. These include but are not limited to: (a) Title VI of the Civil Rights Act of 1964 (P.L. 88-352), which prohibits discrimination on the basis of race, color, or national origin; (b) Title IX of the Education Amendments of 1972, as amended (20 U.S.C. §§ 1681-1683, and 1685-1686), which prohibits discrimination on the basis of sex; (c) Section 504 of the Rehabilitation Act of 1973, as amended, (29 U.S.C. § 794), which prohibits discrimination on the basis of handicaps; (d) the Age Discrimination Act of 1975, as amended (42 U.S.C. §§ 6101-6107), which prohibits discrimination on the basis of age; (e) the Drug Abuse Office and Treatment Act of 1972 (P.L. 92-255), as amended, relating to nondiscrimination on the basis of drug abuse; (f) the Comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment, and Rehabilitation Act of 1970 (P.L. 91-616), as amended, relating to nondiscrimination on the basis of alcohol abuse or alcoholism; §§ 523 and 527 of the Public Health Service Act of 1912 (42 U.S.C. 290 dd-3 and 290 ee-3), as amended, relating to confidentiality of alcohol and drug abuse patient records; (h) Title VIII of the Civil Rights Act of 1968 (42 U.S.C. § 3601 *et seq.*), as amended, relating to nondiscrimination in the sale, rental, or financing of housing; (i) any other nondiscrimination provisions in the specific statute(s) under which application for Federal assistance is being made; and (j) the requirements of any other nondiscrimination statute(s) which may apply to the application.

7. Will comply, or has already complied, with the requirements of Titles II and III of the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (P.L. 91-646), which provide for fair and equitable treatment of persons displaced or whose property is acquired as a result of Federal or federally assisted programs. These requirements apply to all interests in real property acquired for project purposes regardless of Federal participation in purchases.

8. Will comply with provisions of the Hatch Act (5 U.S.C. §§ 1501-1508 and 7324-7328), which limit the political activities of employees whose principal employment activities are funded in whole or in part with Federal funds.

9. Will comply, as applicable, with the provisions of the Davis-Bacon Act (40 U.S.C. §§ 276a to 276a-7), the Copeland Act (40 U.S.C. § 276c and 18 U.S.C. § 874), and the Contract Work Hours and Safety Standards Act (40 U.S.C. §§ 327-333), regarding labor standards for federally assisted construction subagreements.

10. Will comply, if applicable, with flood insurance purchase requirements of Section 102(a) of the Flood Disaster Protection Act of 1973 (P.L. 93-234), which required recipients in a special flood hazard area to participate in the program and to purchase flood insurance if the total cost of insurable construction and acquisition is $10,000 or more.

11. Will comply with environmental standards which may be prescribed pursuant to the following: (a) institution of environmental quality control measures under the National Environmental Policy Act of 1969 (P.L. 91-190) and Executive Order (EO) 11514; (b) notification of violating facilities pursuant to EO 11738; (c) protection of wetlands pursuant to EO 11990; (d) evaluation of flood hazards in flood plains in accordance with EO 11988; (e) assurance of project consistency with the approved State management program developed under the Coastal Zone Management Act of 1972 (16 U.S.C. §§ 1451 *et seq*.); (f) conformity of Federal actions to State (Clean Air) Implementation Plans under Section 176(c) of the Clean Air Act of 1955, as amended (42 U.S.C. § 7401 *et seq.*); (g) protection of underground sources of drinking water under the Safe Drinking Water Act of 1974, as amended (P.L. 93-523); and (h) protection of endangered species under the Endangered Species Act of 1973, as amended (P.L. 93-205).

12. Will comply with the Wild and Scenic Rivers Act of 1968 (16 U.S.C. §§ 1271 *et seq.*), related to protecting components or potential components of the national wild and scenic rivers system.

13. Will assist the awarding agency in assuring compliance with Section 106 of the National Historic Preservation Act of 1966, as amended (16 U.S.C. 470), EO 11593 (identification and protection of historic properties), and the Archaeological and Historic Preservation Act of 1974 (16 U.S.C. 469a-l *et seq.*).

14. Will comply with P.L. 93-348 regarding the protection of human subjects involved in research, development, and related activities supported by this award of assistance.

15. Will comply with the Laboratory Animal Welfare Act of 1966 (P.L. 89-544), as amended (7 U.S.C. 2131 *et seq.*), pertaining to the care, handling, and treatment of warm blooded animals held for research, teaching, or other activities supported by this award of assistance.

16. Will comply with the Lead-Based Paint Poisoning Prevention Act (42 U.S.C. §§ 4801 *et seq.*), which prohibits the use of lead-based paint in construction or rehabilitation of residence structures.

17. Will cause to be performed the required financial and compliance audits in accordance with the Single Audit Act of 1984.

18. Will comply with all applicable requirements of all other Federal laws, executive orders, regulations, and policies governing this program.

SIGNATURE OF AUTHORIZED CERTIFYING OFFICIAL	TITLE
APPLICANT ORGANIZATION	DATE SUBMITTED

CERTIFICATIONS REGARDING DEBARMENT, SUSPENSION, AND OTHER RESPONSIBILITY MATTERS; DRUG-FREE WORKPLACE REQUIREMENTS AND LOBBYING

Applicants should refer to the regulations cited below to determine the certification to which they are required to attest. Applicants should also review the instructions for certification included in the regulations before completing this form. Signature on this form provides for compliance with certification requirements under 15 CFR Part 26, "Governmentwide Debarment and Suspension (Nonprocurement)," and "Governmentwide Requirements for Drug-Free Workplace" and 15 CFR Part 28, "New Restrictions on Lobbying." The certification shall be treated as a material representation of fact upon which reliance will be placed when the Department of Commerce determines to award the covered transaction, grant, or cooperative agreement.

1. DEBARMENT, SUSPENSION, AND OTHER RESPONSIBILITY MATTERS

As required by Executive Order 12549, Debarment and Suspension, and implemented at 15 CFR Part 26, for prospective participants in primary covered transactions, as defined at 15 CFR Part 26, Sections 26.105 and 26.110 -

(1) The prospective primary participant certifies to the best of its knowledge and belief, that it and its principals:

(a) Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any Federal department or agency;

(b) Have not within a three-year period preceding this proposal been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State, or local) transaction or contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;

(c) Are not presently indicted for or otherwise criminally or civilly charged by a government entity (Federal, State, or local) with commission of any of the offenses enumerated in paragraph (1)(b) of this certification; and

(d) Have not within a three-year period preceding this application/proposal had one or more public transactions (Federal, State, or local) terminated for cause or default.

(2) Where the prospective primary participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

2. DRUG-FREE WORKPLACE REQUIREMENTS

Alternate I. Grantee Other Than Individuals

As required by the Drug-Free Workplace Act of 1988, and implemented at 15 CFR Part 26, Subpart F, for grantees, as defined at 15 CFR Part 26, Sections 26.605 and 26.610 -

A. The grantee certifies that it will or will continue to provide a drug-free workplace by:

(a) Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance is prohibited in the grantee's workplace and specifying the actions that will be taken against employees for violation of such prohibition;

(b) Establishing an ongoing drug-free awareness program to inform employees about -

(1) The dangers of drug abuse in the workplace;

(2) The grantee's policy of maintaining a drug-free workplace;

(3) Any available drug counseling, rehabilitation, and employee assistance programs; and

(4) The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace;

(c) Making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph (a);

(d) Notifying the employee in the statement required by paragraph (a) that, as a condition of employment under the grant, the employee will -

(1) Abide by the terms of the statement; and

(2) Notify the employer in writing of his or her conviction for a violation of a criminal drug statute occurring in the workplace no later than five calendar days after such conviction;

(e) Notifying the agency in writing, within ten calendar days after receiving notice under subparagraph (d)(2) from an employee or otherwise receiving actual notice of such conviction. Employers of convicted employees must provide notice, including position title, to the Director, Office of Federal Assistance, Office of Federal Assistance and Management Support, HCHB Room 6054, U.S. Department of Commerce, Washington, DC 20230. Notice shall include the identification number(s) of each affected grant;

(f) Taking one of the following actions, within 30 calendar days of receiving notice under subparagraph (d)(2), with respect to any employee who is so convicted -

(1) Taking appropriate personnel action against such an employee, up to and including termination, consistent with the requirements of the Rehabilitation Act of 1973, as amended; or

(2) Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State, or local health, law enforcement, or other appropriate agency;

(g) Making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs (a), (b), (c), (d), (e), and (f).

B. The grantee shall insert in the space provided below the site(s) for the performance of work done in connection with the specific grant;

DISCLOSURE OF LOBBYING ACTIVITIES

Complete this form to disclose lobbying activities pursuant to 31 U.S.C. 1352

(See reverse for public burden disclosure)

Form Approved OMB No. 0348-0046

1. Type of Federal Action:	2. Status of Federal Action:	3. Report Type:
☐ a. contract b. grant c. cooperative agreement d. loan e. loan guarantee f. loan insurance	☐ a. bid/offer/application b. initial award c. post-award	☐ a. initial filing b. material change **For Material Change Only:** year ______ quarter ______ date of last report ______

4. Name and Address of Reporting Entity: ☐ Prime ☐ Subawardee Tier ______ *(if known)* **Congressional District,** *if known:*	**5. If Reporting Entity in No. 4 is Subawardee, Enter Name and Address of Prime:** **Congressional District,** *if known:*
6. Federal Department/Agency:	**7. Federal Program Name/Description:** **CFDA Number,** *if applicable:* ______
8. Federal Action Number, if known:	**9. Award Amount,** *if known:* **$**
10. a. Name and Address of Lobbying Registrant *(if individual, last name, first name, MI):*	**b. Individual Performing Services** *(including address if different from 10a)(last name, first name, MI)*

11	Information requested through this form is authorized by title 31 U.S.C., section 1352. This disclosure of lobbying activities is a material representation of fact upon which reliance was placed by the tier above when this transaction was made or entered into. This disclosure is required pursuant to 31 U.S.C. 1352. This information will be reported to the Congress semi-annually and will be available for public inspection. Any person who fails to file the required disclosure shall be subject to a civil penalty of not less that $10,000 and not more than $100,000 for each such failure.	Signature: ______ Print Name: ______ Title: ______ Telephone No.: ______ Date: ______

Federal Use Only	Authorized for Local Reproduction Standard Form - LLL

INSTRUCTIONS FOR COMPLETION OF SF-LLL, DISCLOSURE OF LOBBYING ACTIVITIES

This disclosure form shall be completed by the reporting entity, whether subawardee or prime Federal recipient, at the initiation or receipt of a covered Federal action, or a material change to a previous filing, pursuant to Title 31 U.S.C. section 1352. The filing of a form is required for each payment or agreement to make a payment to any lobbying entity for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with a covered Federal action. Use the SF-LLL-A Continuation Sheet for additional information if the space on the form is inadequate. Complete all items that apply for both the initial filing and material change report. Refer to the implementing guidance published by the Office of Management and Budget for additional information.

1. Identify the type of covered Federal action for which lobbying activity has been secured to influence the outcome of a covered Federal action.

2. Identify the status of the covered Federal action.

3. Identify the appropriate classification of this report. If this is a follow-up report caused by a material change to the information previously reported, enter the year and quarter in which the change occurred. Enter the date of the last previously submitted report by this reporting entity for this covered Federal action.

4. Enter the full name, address, city, state, and zip code of the reporting entity. Include Congressional District, if known. Check the appropriate classification of the reporting entity that designates if it is, or expects to be, a primate or subaward recipient. Identify the tier of the subawardee, e.g., the first subawardee of the prime is the 1st tier. Subawards include, but are not limited to, subcontracts, subgrants, and contract awards under grants.

5. If the organization filing the report in item 4 checks "Subawardee," then enter the full name, address, city, state, and zip code of the prime Federal recipient. Include Congressional District, if known.

6. Enter the name of the Federal agency making the award or loan commitment. Include at least one organizational level below agency name, if known. For example, Department of Transportation, United States Coast Guard.

7. Enter the Federal program name or description for the covered Federal action (item 1). If known, enter the full Catalog of Federal Domestic Assistance (CFDA) number for grants, cooperative agreements, loans, and loan commitments.

8. Enter the most appropriate Federal identifying number available for the Federal action identified in item 1 (e.g., Request for Proposal (RFP) number; Invitation for Bid (IFB) number; grant announcement number; the contract, grant, or loan award number; the application/proposal control number assigned by the Federal agency). Include prefixes, e.g., "RFP-DE-90-001."

9. For a covered Federal action where there has been an award or loan commitment by the Federal agency, enter the Federal amount of the award/loan commitment for the prime entity identified in item 4 or 5.

10. (a) Enter the full name, address, city, state, and zip code of the lobbying registrant under the Lobbying Disclosure Act of 1995 engaged by the reporting entity identified in item 4 to influence the covered Federal action.

    (b) Enter the full name(s) of the individual(s) performing services, and include full address if different from 10(a). Enter the Last Name, First Name, and Middle Initial (MI).

11. The certifying official shall sign and date the form, print his/her name, title, and telephone number.

O.M.B. No. 0605-0001: Approval Expires September 1990

Form CD-346
(REV. 8/88)
(PRESCRIBED BY
DAO 207-101)

U.S. DEPARTMENT OF COMMERCE

APPLICANT FOR FUNDING ASSISTANCE

DO NOT COMPLETE THIS SECTION

Date of Request

☐ NAME CHECK

☐ IDENTIFICATION CHECK

INSTRUCTIONS; Please type or print clearly. Information below will be used for investigation of named person's or firm's character and/or integrity. IN ANSWER TO QUESTION 9 BELOW, THE FACT THAT YOU MAY HAVE A CONVICTION RECORD OR HAVE CRIMINAL CHARGES PENDING AGAINST YOU WILL NOT NECESSARILY DISQUALIFY YOU. AN INCORRECT ANSWER MAY CAUSE YOUR APPLICATION TO BE TURNED DOWN. OMISSION OF SOCIAL SECURITY NUMBER WILL NOT DISQUALIFY YOU. PLEASE READ PRIVACY ACT ADVISORY STATEMENT ON REVERSE OF FORM.

1. NAME AND ADDRESS OF APPLICANT *(Firm Name—Post Office Box Is Not Sufficient)*

REGIONAL OFFICE

3. DATE OF BIRTH

Area code and
Phone Number of Firm: (   )

4. PLACE OF BIRTH

2. PERSONAL STATEMENT OF *(State Name in Full) (If no middle name (NMI), or if Initial Only, Indicate Initial. Also list former names used).*

5. U.S. CITIZEN?

☐ Yes ☐ No

If no, give alien registration number:

6. SOCIAL SECURITY NUMBER:

_ _ _ | _ _ | _ _ _ _

7. EMPLOYMENT *(Last 3 years)*

From	To	Employer and Address	City	State	ZIP Code

8. RESIDENCE *(Last 3 years)*

From	To	Number and Address	City	State	ZIP Code

9. HAVE YOU EVER BEEN CONVICTED OF A CRIMINAL OFFENSE OR ARE CRIMINAL CHARGES PENDING AGAINST YOU? YOU MAY OMIT MINOR TRAFFIC VIOLATIONS FOR WHICH YOU FORFEITED $50.00 OR LESS.

☐ Yes ☐ No *If yes, please furnish details on the reverse side of this form.*

10. RESULTS OF CHECK (Government Use Only)

With knowledge of 18 U.S.C. 1001 and 42 U.S.C. 3220 which provides for criminal penalties for making false statements, the undersigned hereby certifies that the above information is correct.

Signature:

Date:

FORM CD-346
(Rev. 8-88)
(PRESCRIBED BY

DAO 207-101)

U.S. DEPARTMENT OF COMMERCE

PRIVACY ACT DISCLOSURE STATEMENT

The Privacy Act of 1974 (P.L. 93-579) requires that you be given certain information in connection with: (a) ☒ The request for information solicited on form CD-346; or (b) ☐ This request for your Social Security Number. Accordingly, pursuant to the requirements of the Act, please be advised:

1. THE AUTHORITY FOR COLLECTION OF THIS DATA IS *(cite U.S. Code, Public Law, or Executive Order):*

15 USC. 1519; 4 USC 3211 (12);
44 USC 3101; 13 CFR 309.2

2. FURNISHING THE INFORMATION SOLICITED IS:

☐ **Mandatory** ☒ **Voluntary**

3. THE PRINCIPAL PURPOSE(S) FOR WHICH THIS DATA WILL BE USED IS:

To establish the integrity and character of principal officers and employees of organizations, firms, or other recipients or beneficiaries of grants, loans, loan guarantee programs, or contracts.

4. *OTHER ROUTINE USES OF THE DATA, IN ADDITION TO THOSE PRINTED ON THE REVERSE SIDE OF THIS FORM *(If any):*

NONE

5. *THE EFFECTS ON YOU, (if any), OF NOT FURNISHING THE REQUESTED INFORMATION ARE:

If the information is not furnished, the processing of the request for or the continued disbursement of financial assistance may cease.

*Items 4 and 5 do not apply to requests for SSNs.

PREFATORY STATEMENT OF GENERAL ROUTINE USES

the following routine uses apply to, and are incorporated by reference into, each system of records set forth below:

1. In the event that a system of records maintained by the department to carry out its functions indicates a violation or potential violation of law or contract, whether civil, criminal, or regulatory in nature, and whether arising by general statute or particular program statute or contract, or rule, regulation, or order issued pursuant thereto, or the necessity to protect an interest of the Department, the relevant records in the system of records may be referred, as a routine use, to the appropriate agency, whether federal, state, local, or foreign, charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute or contract, or rule, regulation, or order issued pursuant thereto, or protecting the interest of the Department.

2. A record from this system of records may be disclosed, as a routine use, to a federal, state, or local agency maintaining civil, criminal, or other relevant enforcement information, such as current licenses if necessary to obtain information relevant to a Department decision concerning the hiring or retention of an individual, the issuance of a security clearance, the letting of a contract, or the issuance of a license, grant, or other benefit.

3. A record from this system of records may be disclosed, as a routine use, to a federal, state, local, or international agency, in response to its request, in connection with the assignment, hiring, or retention of an individual, the issuance of a security clearance, the reporting of the investigation of an individual, the letting of a contract, or the issuance of a license, grant, or other benefit by the requesting agency, to the extent that the information is relevant and necessary to the requesting agency's decision on the matter.

4. A record from this system of records may be disclosed, as a routine use, in the course of presenting evidence to a court, magistrate, or administrative tribunal, including disclosures to opposing counsel in the course of settlement negotiations.

5. A record from this system of records may be disclosed, as a routine use, to a Member of Congress submitting a request involving an individual when the individual has requested assistance from the Member with respect to the subject matter of the record.

6. A record in this system of records which contains medical information may be disclosed, as a routine use, to the medical advisor of any individual submitting a request for access to the record under the Act and 15 CFR Part 4b if, in the sole judgment of the Department, disclosure could have an adverse effect upon the individual, under the provision of 5 USC 552a(f)(3) and implementing regulations at 15 CFR 4b.6.

7. (Delete, Reserved)

8. A record from this system of records may be disclosed, as a routine use, to the Office of Management and Budget in connection with the review of private relief legislation as set forth in OMB Circular No. A-19 at any state of the legislative coordination and clearance process as set forth in that Circular.

9. A record from this system of records may be disclosed, as a routine use, to the Department of Justice in connection with determining whether disclosure thereof is required by the Freedom of Information Act (5 USC 552).

10. A record from this system of records may be disclosed, as a routine use, to a contractor of the Department having need for the information in the performance of the contract, but not operating a system of records within the meaning of 5 USC 552a(m).

11. (Deleted, Reserved)

12. A record from this system of records may be disclosed, as a routine use, to the Office of Personnel Management for personnel research purposes; as a data source for management information; for the production of summary descriptive statistics and analytical studies in support of the function for which the records are collected and maintained; or for related man-power studies.

13. A record from this system of records may be disclosed, as a routine use, to the Administrator, General Services, or his designee, during an inspection of records conducted by GSA as part of that agency's responsibility to recommend improvements in records management practices and programs, under authority of 44 USC 2904 and 2906. Such disclosure shall be made in accordance with the GSA regulations governing inspection of records for this purpose, or other relevant (i.e., GSA or Commerce) directive. Such disclosure shall not be used to make determinations about individuals.